



**DEFENSE LOGISTICS AGENCY
DEFENSE CONTRACT MANAGEMENT COMMAND
8725 JOHN J. KINGMAN ROAD, SUITE 2533
FT. BELVOIR, VIRGINIA 22060-6221**

SEP 22 1997

IN REPLY
REFER TO

AQOC

**MEMORANDUM FOR COMMANDERS, DEFENSE CONTRACT MANAGEMENT
DISTRICTS**


**SUBJECT: DCMC Memorandum No. 97-054 Revision of DFARS Regarding Contract
Action Reporting (INFORMATION)**

This is an INFORMATION memorandum. It expires when the final DFARS rule is included in a future Defense Acquisition Circular. Target Audience: Administrative Contracting Officers and Contract Administrators.

The Director, Defense Procurement issued the attached Memorandum, dated August 20, 1997, advising that the DFARS has been amended to revise DD Form 350, Individual Contracting Action Report and DD Form 1057, Monthly Contracting Summary of Actions \$25,000 or less. The revisions were required to comply with the Clinger/Cohen Act of 1996 (Pub. L. 104-106) and to enhance data collection procedures.

The final DFARS rule is effective October 1, 1997 and will be included in a future Defense Acquisition Circular.

Questions may be directed to Mr. William Boseker, AQOC, (703) 767-3446, or DSN 427-3446.


JILL E. PETTIBONE
Executive Director
Contract Management Policy

Attachment





ACQUISITION AND
TECHNOLOGY

DP (DAR)

OFFICE OF THE UNDER SECRETARY OF DEFENSE

3000 DEFENSE PENTAGON
WASHINGTON DC 20301-3000

AUG 20 1997



August 20, 1997

In reply refer to
DFARS Case: 97-D013
D. L. 97-016

MEMORANDUM FOR DIRECTORS OF DEFENSE AGENCIES
DEPUTY FOR ACQUISITION AND BUSINESS MANAGEMENT,
ASN(RD&A)/ABM
DEPUTY ASSISTANT SECRETARY OF THE AIR FORCE
(CONTRACTING), SAF/AQC
ASSISTANT DEPUTY ASSISTANT SECRETARY OF THE ARMY
(PROCUREMENT)/DIRECTOR FOR CONTRACTING
DEPUTY DIRECTOR (ACQUISITION), DEFENSE LOGISTICS AGENCY

SUBJECT: Revision of DFARS Regarding Contract Action Reporting

We have amended the Defense Federal Acquisition Regulation Supplement (DFARS) to revise DD Form 350 and DD Form 1057 contract action reporting requirements to comply with the Clinger/Cohen Act of 1996 (Pub. L. 104-106) and to enhance data collection procedures.

The attached final DFARS rule is effective on October 1, 1997, and will be included in a future Defense Acquisition Circular.

Eleanor R. Spector
Director, Defense Procurement

Attachment

cc: DSMC, Ft. Belvoir



Final Rule
DFARS Case 97-D013
Revision of DFARS Regarding Contract Action Reporting

SUBPART 204.6 CONTRACT REPORTING

204.600 Scope of subpart.

* * *

204.670 Defense Contract Action Data System (DCADS).

* * * * *

204.670-2 Reportable contracting actions.

* * * * *

(c) ~~Do not report on a DD Form 350, contingency actions defined in 213.101. Summarize these actions on a~~ [on the monthly] DD Form 1057[,] in accordance with the instructions in 253.204-71(a)(3) [, contracting actions that support a contingency operation (see 213.000) and that obligate or deobligate funds exceeding \$25,000 but not exceeding \$200,000].

* * * * *

253.204 Administrative matters.

* * * * *

253.204-70 DD Form 350, Individual Contracting Action Report.

* * * * *

(b) Part B of the DD Form 350.

* * * * *

(10) BLOCK B10, MULTIYEAR CONTRACT.

Enter one of the following codes:

(i) Code Y- Yes. Enter code Y when the contracting action is a multiyear contract as defined at FAR 17.401[103]. Do not report contracts containing options as multiyear unless the definition at FAR 17.401[103] applies to the contract.

* * * * *

(13) BLOCK B13, KIND OF CONTRACTING ACTION.

* * * * *

(i) BLOCK B13A, CONTRACT/ORDER.

* * * * *

(C) Code 4 - Order under an Agreement.

Enter code 4 when the contracting action is an order or definitization of an order under an agreement [other than a blanket purchase agreement]. Examples include an order exceeding \$25,000 under a basic ordering agreement or a

master ship repair agreement and a job order when the contract is created by issuing the order. ~~A blanket purchase agreement call is coded 6 or 9, as appropriate.~~ [A call under a blanket purchase agreement associated with a Federal Supply Schedule, pursuant to FAR 13.202(c)(3), is coded 6. A call under other blanket purchase agreements, pursuant to FAR Subpart 13.2, is coded 9.] When the contracting action is a modification to an order described in code 4 instructions, enter code 4 in B13A.

* * * * *

(G) Code 9 - Purchase [Order]/[Call]
~~Using Simplified Acquisition Procedures.~~ Enter code 9 if the contracting action, including an action in a designated industry group under the Small Business Competitiveness Demonstration Program (FAR Subpart 19.10), is an award pursuant to FAR Part 13, except when the contracting action is a blanket purchase agreement call pursuant to FAR 13.202(c)(3) (see code 6). When the contracting action is a modification to a [purchase] order/call described in code 9 instructions, enter code 9 in B13A.

* * * * *

[(14) BLOCK B14, CICA APPLICABILITY.]

Enter one of the following codes:

(i) Code A - Pre-CICA. Enter code A if the action resulted from a solicitation issued before April 1, 1985. Modifications within the original scope of work of such awards and orders under pre-CICA indefinite delivery type contracts are reported as pre-CICA. In the case of modifications issued on or after April 1, 1985, coded A in B13 or B13~, as appropriate, CICA is applicable to the modification, and these actions shall be coded B in Block B14.

(ii) Code B - CICA Applicable. Enter code B if the action resulted from a solicitation issued on or after April 1, 1985, and none of the following codes applies.

(iii) Code C - Simplified Acquisition Procedures Other than FAR Subpart 13.6. Enter code C if the action resulted from use of the procedures in FAR Part 13, other than those in Subpart 13.6.

(iv) Code D - Simplified Procedures
Pursuant to FAR Subpart 13.6. Enter code D if the action
resulted from use of the procedures in FAR Subpart 13.6.]

(c) *Part C of the DD Form 350.*

(1) Part C gathers data concerning contracting procedures, use of competition, financing, and statutory requirements other than socioeconomic (which are in Part D).

(2) Do not complete Part C if the contracting action is an action with a government agency, i.e., Block B5B (Government Agency) is coded Y (Yes). **[If Block B13A is coded 6, do not complete any blocks in Part C except Block C3, and Blocks C13A and C13B when they apply.]**

* * * * *

(4) Complete Part C blocks as follows-

* * * * *

(xi) BLOCK C11, CERTIFIED COST OR PRICING DATA.

Enter one of the following codes when Block B1B is coded A. Otherwise, leave blank.

(A) Code Y - Yes - Obtained. Enter code Y when ~~certified cost or pricing data were obtained for the contracting action reported~~ (see FAR 15.804-2) **[and certified in accordance with FAR 15.804-4].**

(B) Code N - No - Not Obtained. Enter code N when ~~certified cost or pricing data were not obtained because data were not required (see FAR 15.804-2) or an exemption was granted (see FAR 15.804-3(a)-(g))~~ **[neither Code Y nor Code W applies].**

(C) Code W - Not Obtained - Waived. Enter code W when ~~certified cost or pricing data were not obtained because the requirement was waived (see FAR 15.804-3(i))~~ **[1(a) (3)] and DFARS 215.804-3(i) [1(b) (4)].**

* * * * *

(d) *Part D of the DD Form 350.*

* * * * *

(5) Complete Part D blocks as follows:

* * * * *

(vii) BLOCK D7 - SMALL BUSINESS INNOVATION RESEARCH (SBIR) PROGRAM. Enter one of the following codes. When Block B1B is coded B or C and Block B13A is coded 5, leave Block D7 blank.

(A) Code A - Not an [a] SBIR Program Phase I/II[/III]. Enter code A if the action is not in support of a Phase I[,] ~~or~~ II[,] ~~or~~ III] SBIR program.

* * * * *

[(D) Code D - SBIR Program Phase III Action]. Enter code D if the action is related to a Phase III contract in support of the SBIR Program.]

* * * * *

(e) *Part E of the DD Form 350.*

* * * * *

(4) BLOCK E4 - [CONTINGENCY OPERATION. Enter code Y in Block E4 if the contracting action is in support of a contingency operation, as defined in 213.101, and the action exceeds the simplified acquisition threshold for contingency operations (see 213.000). Otherwise, leave Block E4 blank.

(5) BLOCK E5 -] BLOCK E8 - RESERVED.

* * * * *

253.204-71 DD Form 1057, Monthly Contracting Summary of Actions \$25,000 or Less.

(a) *Scope of subsection.*

* * * * *

(3) Include [Report] actions [of \$25,000 or less] in support of a contingency operation [in accordance with the instructions in paragraphs (c) through (j) of this subsection. Report actions exceeding \$25,000 but not exceeding \$200,000 in support of a contingency operation] (see 213.000) on the [monthly] DD Form 1057 as follows:

(i) ~~Section A, complete fully.~~

~~(ii)~~ Section B, ~~complete only~~ [the applicable] lines [are] 5, 5a, 7, and 7a.

~~(iii)~~ [(ii)] Section C, ~~complete only~~ [the applicable] lines [are] 1 and 1c, 2 and 2c, [and] ~~or~~ 3 and 3c, ~~as applicable.~~

~~(iv)~~ [(iii)] Sections D, E, and F, ~~leave blank~~ [are not applicable].

~~(v)~~ [(iv)] Section G, complete fully.

~~(vi)~~ Section H, ~~complete fully.~~

* * * * *

253.303-350 (See attached)

INDIVIDUAL CONTRACTING ACTION REPORT						REPORT CONTROL SYMBOL	
PART A	A1. TYPE OF REPORT 0 Original 1 Cancelling 2 Correcting		A2. REPORT NO.	A3. CONTRACTING OFFICE CODE	A4. NAME OF CONTRACTING OFFICE		
	B1. CONTRACT IDENTIFICATION INFORMATION			B2. MODIFICATION, ORDER OR OTHER ID NUMBER		B3. ACTION DATE (YYYYMMDD)	B4. COMPLETION DATE (YYYYMMDD)
PART B	B1A. CONTRACT NUMBER		B1B. ORIGIN OF CONTRACT A DoD B NASA C Other Non-DoD Agency				
	B5. CONTRACTOR IDENTIFICATION INFORMATION						
B5A. CONTRACTOR IDENTIFICATION NUMBER		B5D. CONTRACTOR NAME AND DIVISION NAME			B5E. CONTRACTOR ADDRESS (Street, City, State, Zip Code)		
B5B. GOVERNMENT AGENCY Y Yes N No		B5C. CAGE CODE					
B5F. TIN		B5G. PARENT TIN		B5H. PARENT NAME			
B6. PRINCIPAL PLACE OF		B6A. CITY OR PLACE CODE		B6B. STATE OR COUNTRY CODE		B6C. CITY OR PLACE AND STATE OR COUNTRY NAME	
B7. TYPE OBLIGATION 1 Obligation 2 Deobligation		B8. TOTAL DOLLARS (Enter whole dollars only)		B9. FOREIGN MILITARY SALE Y Yes N No		B10. MULTIYEAR CONTRACT Y Yes N No	
B11. TOTAL MULTIYEAR VALUE (Enter whole dollars only)							
B12. PRINCIPAL PRODUCT OR SERVICE	B12A. FSC OR SVC CODE	B12B. DOD CLAIMANT PROGRAM CODE	B12C. PROGRAM, SYS-TEM OR EQUIP. CODE	B12D. SIC CODE		B12E. NAME/DESCRIPTION	
B13. KIND OF CONTRACTING ACTION		B13B. TYPE OF INDEFINITE DELIVERY CONTRACT		B13C. MULTIPLE/SINGLE AWARD IDC(S)		B14. CICA APPLICABILITY	
B13A. CONTRACT/ORDER 1 Letter Contract 3 Definitive Contract 4 Order under an Agreement 5 Order under Indefinite Delivery Contract (IDC) 6 Order/Call under Federal Schedule 8 Order from Procurement List 9 Purchase Order/Call		A Requirements Contract (FAR 52.216-21) B Indefinite Quantity Contract (FAR 52.216-22) C Definite Quantity Contract (FAR 52.216-20)		B13D. MODIFICATION A Additional Work (new agreement) B Additional Work (other) C Funding Action D Change Order E Termination for Default		F Termination for Convenience G Cancellation H Exercise of an Option J Definition of a Letter Contract	
						A Pre-CICA B CICA Applicable C Simplified Acquisition Procedures Other than FAR Subpart 13.6 D Simplified Procedures Pursuant to FAR Subpart 13.6	
PART C (Do Not Complete This Part If Block B5B is Coded Y)							
C1. SYNOPSIS A Synopsis Only B Combined Synopsis/Solicitation N No		C2. REASON NOT SYNOPSISIZED A Urgency B Use of FACNET Z Other Reason		C3. EXTENT COMPETED A Competed Action B Not Available for Competition C Follow-on to Competed Action D Not Competed		C4. SEA TRANSPORTATION Y Yes - Positive Response to DFARS 252.247-7022 or 252.212-7000(c)(2) N No - Negative response to DFARS 252.247-7022 or 252.212-7000(c)(2) U Unknown - No Response or Provision Not Included in Solicitation	
C5. TYPE OF CONTRACT A Fixed-Price Redetermination J Firm-Fixed-Price K Fixed-Price Economic Price		L Fixed-Price Incentive R Cost-Plus-Award-Fee S Cost Contract		T Cost-Sharing U Cost-Plus-Fixed-Fee V Cost-Plus-Incentive-Fee		Y Time-and-Materials Z Labor-Hour	
						C6. NUMBER OF OFFERORS SOLICITED 1 One 2 More than One	
						C7. NUMBER OF OFFERS RECEIVED	
C8. SOLICITATION PROCEDURES A Full & Open Competition - Sealed Bid B Full & Open Competition - Competitive Proposal C Full & Open Competition - Combination D Architect - Engineer E Basic Research F Multiple Award Schedule G Alternative Sources K Set-Aside M Reserved N Other than Full & Open Competition				C9. AUTHORITY FOR OTHER THAN FULL & OPEN COMPETITION 1A Unique Source 1B Follow-on Contract 1C Unsolicited Research Prop 1D Patent/Data Rights 1E Utilities 1F Standardization 1G Only One Source - Other 2A Urgency 3A Particular Sources 4A International Agreement 5A Authorized by Statute 5B Authorized Resale 6A National Security 7A Public Interest			
C10. SUBJECT TO LABOR STANDARDS STATUTES A Walsh-Healey Act C Service Contract Act D Davis-Bacon Act Z Not Applicable		C11. CERTIFIED COST OR PRICING DATA Y Yes - Obtained N No - Not Obtained W Not Obtained - Waived		C12. CONTRACT FINANCING A FAR 52.232-16 B DFARS 252.232-7003 C Percentage of Completion PP D Unusual PP or AP E Commercial Financing F Performance-Based Financing Z Not Applicable			
C13. FOREIGN TRADE DATA	C13A. PLACE OF MANUFACTURE A U.S. B Foreign		C13B. COUNTRY OF ORIGIN CODE		C14. COMMERCIAL ITEMS Y Yes - FAR 52.212-4 Included N No - FAR 52.212-4 Not Included		
PART D (Do Not Complete This Part If Block B5B is Coded Y, or If Block B13A is Coded 6)							
D1. TYPE OF BUSINESS A Small Disadvantaged Business Performing in U.S. B Other Small Business Performing in U.S. C Large Business Performing in U.S. D JWOD Participating Nonprofit Agencies F Hospital L Foreign Concern/Entity M Domestic Firm Performing Outside U.S. U Historically Black Colleges and Universities or Minority Institutions (HBCU/MI) V Other Educational Z Other Nonprofit		D2. REASON NOT AWARDED TO SMALL DISADVANTAGED BUSINESS (SDB) A No Known SDB Source B SDB Not Solicited C SDB Solicited/No Offer D SDB Solicited/Offer Not Low Z Other Reason		D3. REASON NOT AWARDED TO SMALL BUSINESS (SB) A No Known SB Source B SB Not Solicited C SB Solicited/No Offer D SB Solicited/Offer Not Low Z Other Reason			
D4. PREFERENCE PROGRAM	D4A. TYPE OF SB SET-ASIDE A None B Total SB Set-Aside C Partial SB Set-Aside E Total SDB Set-Aside Y Emerging Small Business Set-Aside		D4B. TYPE OF SDB SET-ASIDE/SDB PREFERENCE A None B Section 8(a) C Total SDB Set-Aside D SDB Evaluation Preference - Unrestricted E SDB Preferential Consideration - Partial SB Set-Aside F SDB Evaluation Preference in Construction		D4C. HBCU/MI SET-ASIDE A None B HBCU or MI - Total Set-Aside C HBCU or MI - Partial Set-Aside		D4D. RESERVED
							D4E. PREMIUM PERCENT
D5. ETHNIC GROUP A Asian-Indian American B Asian-Pacific American C Black American D Hispanic American E Native American F Other SDB Certified/determined by SBA Z No Representation		D6. WOMEN-OWNED BUSINESS Y Yes N No U Uncertified		D7. SMALL BUSINESS INNOVATION RESEARCH (SBIR) PROGRAM A Not a SBIR Program Phase I/II/III B SBIR Program Phase I Action C SBIR Program Phase II Action D SBIR Program Phase III Action		D8. SUBCONTRACTING PLAN - SB, SDB, OR HBCU/MI A Plan Not Included - No Subcontracting Possibilities B Plan Not Required C Plan Required, Incentive Not Included D Plan Required, Incentive Included	
D9. DEMONSTRATION TEST PROGRAM Y Yes N No	D10. SIZE OF SMALL BUSINESS NUMBER OF EMPLOYEES A 50 or Fewer B 51 - 100 C 101 - 250 D 251 - 500 E 501 - 750 F 751 - 1,000 G Over 1,000 or AVERAGE ANNUAL GROSS REVENUE (\$) M 1,000,000 or Less N 1,000,001 - 2,000,000 P 2,000,001 - 3,500,000 R 3,500,001 - 5,000,000 S 5,000,001 - 10,000,000 T 10,000,001 - 17,000,000 U Over 17,000,000				D11. EMERGING SMALL BUSINESS Y Yes N No		
PART E		PART F		PART G		PART H	
E1		E2		E3		E4	
E5		E6		E7		E8	
F1. NAME OF CONTRACTING OFFICER OR REPRESENTATIVE				F2. SIGNATURE		F3. TELEPHONE NO.	
						F4. DATE (YYYYMMDD)	